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PTO/SB/01 (12-97)  
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**DECLARATION FOR UTILITY OR  
DESIGN  
PATENT APPLICATION  
(37 CFR 1.63)**

☒ Declaration Submitted with Initial Filing **OR** ☐ Declaration Submitted after Initial Filing (surcharge (37 CFR 1.16 (e)) required)

**Attorney Docket Number**

**4629-006**

**First Named Inventor**

**Yoko TATSUMI**

**COMPLETE IF KNOWN**

**Application Number**

**/**

**Filing Date**

**Group Art Unit**

**Examiner Name**

**As a below named inventor, I hereby declare that:**

My residence, post office address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

**A SUBSTANCE HAVING AN APOPTOSIS-INDUCING ABILITY**

the specification of which

(Title of the Invention)

☐ is attached hereto  
**OR**

☒ was filed on (MM/DD/YYYY) **01/14/1999** as United States Application Number or PCT International

Application Number **PCT/JP99/00109** and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or 365(b) of any foreign application(s) for patent or inventor's certificate, or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate, or of any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
20112/98	Japan	01/19/1998	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
101797/98	Japan	03/31/1998	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
288701/98	Japan	09/28/1998	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

I hereby claim the benefit under 35 U.S.C. 119(e) of any United States provisional application(s) listed below.

Application Number(s)	Filing Date (MM/DD/YYYY)

☐ Additional provisional application numbers are listed on a supplemental priority data sheet.

DO NOT WRITE IN THESE SPACES. This form is to be filled out by the inventor or applicant. It is not to be filled out by the Patent and Trademark Office. Any comments or information you wish to provide should be sent to the Patent and Trademark Office, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FILLED OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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## DECLARATION — Utility or Design Patent Application

I hereby claim the benefit under 35 U.S.C. 120 of any United States application(s), or 365(c) of any PCT international application designating the United States of America, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of 35 U.S.C. 112, I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application.

U.S. Parent Application or PCT Parent Number	Parent Filing Date (MM/DD/YYYY)	Parent Patent Number (if applicable)

☐ Additional U.S. or PCT international application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto.

As a named inventor, I hereby appoint the following registered practitioner(s) to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith:

☐ Customer Number

OR

☐ Registered practitioner(s) name/registration number listed below

Place Customer  
Number Bar Code  
Label here

Name	Registration Number	Name	Registration Number

☐ Additional registered practitioner(s) named on supplemental Registered Practitioner Information sheet PTO/SB/02C attached hereto.

Direct all correspondence to: ☐ Customer Number or Bar Code Label ☐ Correspondence address below

Name					
Address					
Address					
City		State		ZIP	
Country		Telephone		Fax	

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Name of Sole or First Inventor:

☐ A petition has been filed for this unsigned inventor

Given Name (first and middle (if any))		Family Name or Surname	
Yoko		TATSUMI	
Inventor's Signature	Date		
	05/30/00		
Residence: City	State	Country	Citizenship
Otsu-shi	Shiga	Japan	Japan

Post Office Address			
City	State	ZIP	Country
Otsu-shi	Shiga		Japan

☒ Additional inventors are being named on the supplemental Additional Inventors sheets PTO/SB 02A attached hereto.

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PTO SB/02A (3-97)  
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<b>DECLARATION</b>	<b>ADDITIONAL INVENTOR(S)</b> <b>Supplemental Sheet</b> Page <u>1</u> of <u>3</u>
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<b>Name of Additional Joint Inventor, if any:</b>				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle [if any])				Family Name or Surname			
Hiroaki				SAGAWA			
Inventor's Signature	Hiroaki Sagawa					Date	05/30/00
Residence: City	Otsu-shi	State	Shiga	Country	Japan	Citizenship	Japan
Post Office Address: c/o Central Research Laboratories,							
Post Office Address: Takara Shuzo Co., Ltd., 4-1, Seta 3-chome,							
City	Otsu-shi	State	Shiga	ZIP		Country	Japan
<b>Name of Additional Joint Inventor, if any:</b>				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle [if any])				Family Name or Surname			
Hiromu				OHNOGI			
Inventor's Signature	Hiromu Ohnogi					Date	05/30/00
Residence: City	Otsu-shi	State	Shiga	Country	Japan	Citizenship	Japan
Post Office Address: c/o Central Research Laboratories,							
Post Office Address: Takara Shuzo Co., Ltd., 4-1, Seta 3-chome,							
City	Otsu-shi	State	Shiga	ZIP		Country	Japan
<b>Name of Additional Joint Inventor, if any:</b>				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle [if any])				Family Name or Surname			
Eiji				KOBAYASHI			
Inventor's Signature	Eiji Kobayashi					Date	05/30/00
Residence: City	Otsu-shi	State	Shiga	Country	Japan	Citizenship	Japan

City	Otsu-shi	State	Shiga	ZIP		Country	Japan
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Burden Hour Statement: This form is estimated to take 0.4 hours to complete. Time will vary depending upon the needs of the individual filer. Any comments on the amount of time you are required to spend on this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20503.

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<b>DECLARATION</b>	<b>ADDITIONAL INVENTOR(S)</b> <b>Supplemental Sheet</b> Page <u>2</u> of <u>3</u>
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<b>Name of Additional Joint Inventor, if any:</b>				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle [if any])				Family Name or Surname			
Hua-Kang				WU			
Inventor's Signature						Date	05/30/00
Residence: City	Otsu-shi	State	Shiga	Country	Japan	Citizenship	Canada
Post Office Address c/o Central Research Laboratories,							
Post Office Address Takara Shuzo Co., Ltd., 4-1, Seta 3-chome,							
City	Otsu-shi	State	Shiga	ZIP		Country	Japan
<b>Name of Additional Joint Inventor, if any:</b>				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle [if any])				Family Name or Surname			
Nobuto				KOYAMA			
Inventor's Signature						Date	05/30/00
Residence: City	Otsu-shi	State	Shiga	Country	Japan	Citizenship	Japan
Post Office Address c/o Central Research Laboratories,							
Post Office Address Takara Shuzo Co., Ltd., 4-1, Seta 3-chome,							
City	Otsu-shi	State	Shiga	ZIP		Country	Japan
<b>Name of Additional Joint Inventor, if any:</b>				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle [if any])				Family Name or Surname			
Katsunige				IKAI			
Inventor's Signature						Date	05/30/00
Residence: City	Otsu-shi	State	Shiga	Country	Japan	Citizenship	Japan
City	Otsu-shi	State	Shiga	ZIP		Country	Japan

I declare that I am the inventor of the invention described in the foregoing application. I am not aware of any other persons who are inventors of the invention described in the foregoing application. I am not aware of any other persons who are inventors of the invention described in the foregoing application. I am not aware of any other persons who are inventors of the invention described in the foregoing application.

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FTO 5B/2A (3-97)  
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<b>DECLARATION</b>	<b>ADDITIONAL INVENTOR(S)</b> <b>Supplemental Sheet</b> Page <u>3</u> of <u>3</u>
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Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor					
Given Name (first and middle [if any])				Family Name or Surname			
Ikimoshin				KATO			
Inventor's Signature						Date	05/30/00
Residence: City	Otsu-shi	State	Shiga	Country	Japan	Citizenship	Japan
Post Office Address: c/o Central Research Laboratories,							
Post Office Address: Takara Shuzo Co., Ltd., 4-1, Seta 3-chome,							
City	Otsu-shi	State	Shiga	ZIP		Country	Japan
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor					
Given Name (first and middle [if any])				Family Name or Surname			
Inventor's Signature						Date	
Residence: City		State		Country		Citizenship	
Post Office Address:							
Post Office Address:							
City		State		ZIP		Country	
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor					
Given Name (first and middle [if any])				Family Name or Surname			
Inventor's Signature						Date	
Residence: City		State		Country		Citizenship	

City	State	ZIP	Country
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Supplemental Sheet of the Form must be submitted with the original Form. The original Form must be submitted with the Supplemental Sheet. The Supplemental Sheet must be submitted with the original Form.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Yoko TATSUMI, Hiroaki SAGAWA, Hiromu OHNOGI,  
Eiji KOBAYASHI, Hua-Kang WU, Nobuto KOYAMA, Katsushige IKAI and  
Ikunoshin KATO

For: A SUBSTANCE HAVING AN APOPTOSIS-INDUCING ABILITY

Filed concurrently herewith.  
Serial Number to be assigned.

Assistant Commissioner for Patents  
Washington, D.C. 20231

POWER OF ATTORNEY

Sir:

The undersigned, assignee of the entire interest in and to the above-identified application for U.S. Letters Patent, by an assignment document being recorded contemporaneously herewith, hereby appoints the firm of Rhodes & Mason, P.L.L.C., comprising C. Robert Rhodes, Reg. No. 24,200, Edward W. Rilee, Reg. No. 31,869, Howard A. MacCord, Jr., Reg. No. 28,639, Jack B. Hicks, Reg. No. 34,180, James L. Lester, Reg. No. 38,721, William J. Mason, Reg. No. 22,948, Clinton H. Hallman, Jr., Reg. No. 38,480, Gilbert J. Andia, Jr., Reg. No. 38,815, Amy H. Fix, Reg. No. 42,616, Stanislav Antolin, Reg. No. 34,979, Dwight N. Holmbo, Reg. No. 36,410, and Robert P. Santandrea, Reg. No. 45,072, to make alterations and amendments thereto, to receive the patent, and to transact all business in the Patent and Trademark Office connected therewith.

Furthermore, in accordance with 37 CFR §3.73(b), the undersigned hereby states that the documentary evidence of a chain of title from the original owner to the assignee, i.e. assignment document referenced above, has been reviewed and the undersigned certifies that, to the best of assignee's knowledge and belief, title is in assignee who seeks to prosecute this application.

**PLEASE ADDRESS ALL COMMUNICATIONS AND TELEPHONE CALLS  
TO: RHODES & MASON, P.L.L.C., POST OFFICE BOX 2974, GREENSBORO,  
NORTH CAROLINA 27402 (336) 273-4422.**

Takara Shuzo Co., Ltd.

BY: Hisashi Ohmiya  
Hisashi Ohmiya  
President

Date: May 30, 2000

File No.: 4629-006